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ABSTRACT

The Technical Assistance Unit (TAU) is one of six work components in the Field Relations and Dissemination Work Unit (FRDWU) of the Improving Teaching Competencies Program (ITCP) of the Northwest Regional Educational Laboratory (NWREL). TAU established the following objectives: (1) to provide technical assistance for any interested users of ITCP instructional systems, (2) to ensure and facilitate the use of ITCP instructional systems, (3) to solicit and contract with new clients, (4) to develop and implement multiple strategies for disseminating ITCP systems, (5) to document, study, and analyze strategies, (6) to determine the extent to which TAU can become self-supporting, (7) to maintain a continuous relationship with the field to facilitate any future needs for field-based research, development, dissemination and evaluation efforts, (8) to understand how this unit should interface with other lab administrative units. This evaluation was intended to determine the feasibility of establishing the TAU, to improve its functioning and to serve as a useful first step for evaluation. However, the evaluators felt that it was impossible to give good advice based on the data collected because it was difficult to distinguish between the TAU and other components of the FRDWU, eight months of study was not adequate time, and the budget provided was inadequate. (MV)

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IMPROVING TEACHING COMPETENCIES PROGRAM

Northwest Regional Educational Laboratory

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TECHNICAL ASSISTANCE UNIT FEASIBILITY STUDY

Improving Teaching Competencies Program

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CHAPTER I: INTRODUCTION

In this chapter the purposes of the evaluation are stated, followed by a description of the *Technical Assistance Unit (TAU)* and its objectives. Finally, the chapter lists the audiences for the evaluation and a summary of the format of the report.

Purposes of the Evaluation

This evaluation was intended to serve three main purposes for the *Technical Assistance Unit (TAU)*, the Improving Teaching Competencies Program (ITCP) and the Northwest Regional Educational Laboratory (NWREL). First, it was a study to determine the feasibility of establishing the *TAU*. As such, it produced information that can be used to determine whether and how the *TAU* should continue its work beyond fiscal year 1976 in the ITCP's contract with the National Institute of Education (NIE). Second, it was intended to improve the *TAU's* functioning during fiscal year 1976. As such, information produced during this evaluation was reported continuously to the *TAU*, ITCP and NWREL. Third, it was intended to be a useful first stage of evaluation upon which subsequent evaluation could be built. As such, it tested procedures through which the feasibility and functioning of the *TAU* could be monitored in the future.

Description of the *Technical Assistance Unit*

At the time this study was conducted, the *TAU* was one of six work components in the Field Relations and Dissemination Work Unit (FRDWU) of the Improving Teaching Competencies Program.[1] The FRDWU also had the

[1]See the *Resource Allocation and Management Plan* of the Improving Teaching Competencies Program, 1975, for details.

following work components to complete: (1) developing a conceptual model[2] to guide dissemination and diffusion of ITCP instructional systems and other programs or products with similar aims and format, (2) developing, implementing and evaluating a strategy for disseminating selected ITCP instructional systems in Individually Guided Education (IGE) schools in collaboration with the Wisconsin Research and Development Center, (3) developing, implementing and evaluating a strategy for disseminating ITCP instructional systems in the Florida Teacher Center Network, (4) planning, implementing and evaluating regional workshops using selected ITCP instructional systems and (5) serving in a field relations capacity to set up field test sites for the *Social Conflict and Negotiative Problem Solving* instructional system of the ITCP. In addition, *TAU* members participated in the Inter-Lab Consortium that is exploring ways to increase utilization of the products of several research and development efforts.

Given that the same personnel performed tasks in these five components and the Consortium as well as in the *TAU*, some evaluation activities were aimed at answering questions to describe the *TAU* as a separate entity. A careful and precise delineation of critical activities by these personnel was necessary to determine the *TAU's* feasibility, improve its functioning and provide test procedures for future monitoring.

Objectives of the *Technical Assistance Unit*

This section describes the *TAU's* objectives for fiscal year 1976 and relates these objectives to the purposes of this evaluation. The

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[2] See Arends, Richard I. *Strategies for Disseminating and Diffusing the Ideas, Practices, and Products of the Improving Teaching Competencies Program*, June 1976.

TAU established the following objectives:

1. To provide technical assistance for any interested users of ITCP instructional systems

2. To ensure and facilitate the use of ITCP instructional systems on a shared-cost or a total cost contractual basis

3. To solicit and contract with new clients

4. To develop and implement multiple strategies for disseminating individual ITCP systems and clusters of ITCP systems such as Providing Organizational Development Skills (PODS)[3]

5. To document, study and analyze strategies used

6. To determine the extent to which the *TAU* can become self-supporting

7. To maintain a continuous relationship with the field to facilitate any future needs for field-based Research, Development, Dissemination and Evaluation (RDD&E) efforts

8. To reach a shared understanding of how this unit will interface with other Lab administrative units, e.g., Office of Dissemination and Marketing, Educational Services Division, etc. (see Appendix A for complete statement of scope of work).

Objective 5 was to be accomplished by collecting information to serve all three evaluation purposes. Objective 6 was to be accomplished through collecting information to determine the feasibility of the *TAU* and objective 8 was to be accomplished in part by collecting information intended to improve the *TAU's* functioning.

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[3] ITCP instructional systems included in the PODS cluster include:
Interpersonal Communications
Research Utilizing Problem Solving
Interpersonal Influence
Preparing Educational Training Consultants: Skills Training (PETC-I) and Group Process Skills (GPS)
Preparing Educational Training Consultants: Consulting (PETC-II)
Preparing Educational Training Consultants: Organizational Development (PETC-III)
Social Conflict and Negotiative Problem Solving
Other ITCP instructional systems to be disseminated include:
Systematic and Objective Analysis of Instruction
Development of Higher Level Thinking Abilities
Facilitating Inquiry in the Classroom

Objectives 1, 2, 3, 4 and 7 were of a different character. Rather than achieving these objectives, the evaluation was to determine whether and how they were accomplished. Whether they were accomplished was to determine the feasibility of the *TAU*. How they were accomplished was to determine what needed to be done to improve the *TAU's* functioning and to monitor the *TAU's* functioning and feasibility in the future.

Audiences for the Evaluation

Several audiences were considered in the preparation of this report. They included: the *TAU* itself, to provide information which will assist in improving its functioning; the ITCP, the *TAU* and NWREL, to assist in making decisions about whether and how the *TAU* should continue its work beyond fiscal year 1976; NIE, to provide information about the conditions under which technical assisters can exist and the part NIE may take in supporting them; and any others who may be interested in the establishment of technical assistance units or in becoming technical assisters.

Report Format

The report contains four chapters and a section of appendices. Chapter I introduces the report. Chapter II describes the evaluation design. Chapter III reports the results of the evaluation. Chapter IV is a summary and discussion of the findings.

CHAPTER II: EVALUATION DESIGN

Chapter II includes a statement of the evaluation context, a list of the evaluation questions and a description of the overall evaluation methods.

The evaluation study was planned and conducted during FY 76, specifically between March and October, 1976. As an evaluation of the work of a particular sub-unit of a particular work unit in the ITCP, it was a first. Until FY 76, all evaluation studies of the ITCP had been directed toward evaluating the efficacy of instructional systems. In FY 76 the ITCP began to look at its capabilities to diffuse and disseminate these instructional systems.

Part of the effort at examining these capabilities entailed the development of a conceptual scheme that is summarized in Table 1. The conceptual document by R. Arends (June 1976) described how the *TAU* would likely emphasize strategies 1, 2 and 3 while other efforts of the FRDWU would begin to test strategies 4 and 5 in FY 76. Implementation and evaluation of stratgies 6 and 7 and the conduct of the efficacy of the different strategies could happen only if future funding was obtained.

To assess the ITCP's dissemination capabilities necessitated providing four kinds of evaluation information for and about the *TAU*. The first kind was diagnostic or contextual; *TAU* members wanted to find out about the kinds of situations in which they would be involved. They wanted to ascertain conditions they would meet as they began each new activity. For example, before mailing out detailed information on a particular instructional system to a particular population of people, they wanted to know if the intended recipients had already received more general, first-level material.

Table 1

A Summary of Categories and
Dissemination and Diffusion Strategies

DISSEMINATION		1. Market intact instructional systems to individuals 2. Market workshop experiences using intact instructional systems to individuals
DIFFUSION	TECHNICAL ASSISTANCE	3. Provide training of trainers and technical assistance using some intact instructional systems to institutions and agencies wishing to adapt and use components of ITCP curriculum 4. Provide training of trainers and technical assistance using all or clusters of instructional systems to institutions and agencies wishing to adopt and use the ITCP curriculum
	TAILORED CONSULTATION	5. Provide tailored training, consultation and product support to institutions and agencies involved in a change effort aimed at improvement of school practices or aimed at improved organizational functioning 6. Provide tailored trainining, consultation and product support to organizations for institutionalizing permanent change capacity such as internal consultants, cadres of OD specialists, or those who hold roles as linkers 7. Provide network coordination and tailored consultation to internal consultants, members of internal cadres, and linkers

A second kind of evaluation, concerning judgments of activities that might be tried, was called input evaluation. More than one activity was always feasible in technical assistance work, and *TAU* members always made choices. They considered various plans and compared their probable effects with established goals and objectives. For example, before deciding to have a face-to-face meeting with an individual who might be able to locate a client group for technical assistance, the *TAU* had to decide if a letter or a phone call might not produce the desired result.

A third kind of evaluation, called process evaluation, examined the short-term effects of *TAU* activities. What proportion of those receiving the mail-out brochure requested more information about ITCP instructional systems? Was the proportion greater or smaller when the brochure was handed out in conjunction with an oral presentation at a meeting? Were superintendents more likely than staff-development directors to call the *TAU* on their own initiative? Answers to questions like these told *TAU* members whether the processes they set in motion were having the desired effects in the short term.

A fourth sort of evaluation, product or outcome evaluation, told whether activities produced results overall that justified the time and expense. *TAU* members wanted outcome evaluation information to use in convincing others of the manner in which the *TAU* should be continued beyond fiscal year 1976. When they tailored the ITCP's validated instructional systems to better meet the needs of users, they wanted information to begin validating the impact of the tailored systems.

There are two main reasons why the evaluation concentrated on providing contextual, input and process evaluation information more than outcome evaluation information. First, the amount of time

available for this evaluation was insufficient to study the long-term effects of *TAU* actions; decisions about continuing the *TAU* had to be made on information about its operation and short-term effects. Second, the ITCP already had evaluation information on the instructional systems that had been collected while they were validated and had little need for more at this time. For these reasons, the evaluation built the data base to which comparisons can be made in the future.

The evaluation did include an indirect means for providing outcome evaluation information since *TAU* members were asked to reflect upon the helpfulness of diagnostic, input and process evaluation activities and shaped these so they perhaps may have outcome evaluation usefulness in the future.

Evaluation Questions

This section includes questions to be answered by the evaluation activities described in this report. Questions related to the *TAU's* feasibility are presented first and are followed by questions related to the *TAU's* functioning and the evaluation.

Questions related to the feasibility of the *TAU*:[4]

1. To what extent does the *TAU* provide technical assistance to any interested users of ITCP instructional systems and become self-supporting in doing so?

2. To what extent does the *TAU* ensure and facilitate the use of ITCP instructional systems on a shared-cost or a total cost contractual basis and become self-supporting in doing so?

[4]Five questions were asked to parallel the five relevant objectives (objectives 1, 2, 3, 4 and 7) of the *TAU*. The basic question was implicit in the sixth objective, to what extent does the *TAU* become self-supporting in fiscal year 1976?

3. To what extent does the *TAU* solicit and contract with new clients and become self-supporting in doing so?

4. To what extent does the *TAU* develop and implement multiple strategies for disseminating individual ITCP systems and clusters of systems such as PODS and become self-supporting in doing so?

5. To what extent does the *TAU* maintain a continuous relationship with the field to facilitate any future needs for field-based RDD&E efforts and become self-supporting in doing so?

Questions related to *TAU* functioning:[5]

6. What is the position of the *TAU* in its institutional environment? What components of the FRDWU, ITCP, NWREL, NIE and publishers are involved in *TAU* activities as goal-setters, funders, technical assisters or consultants, decision makers, etc.?

7. What is the nature of *TAU's* institutional environment? From which components does the *TAU* draw resources of various kinds? What are the lines of accountability and influence between the *TAU* and other components? What are the histories and possible future of interfaces of the components and the *TAU*?

8. What is the absolute and relative size of the *TAU* within the FRDWU in terms of FTE, budget, personnel qualifications?

9. To which pieces of work within the *TAU* are personnel and other resources allocated? What relative and absolute volumes of resources are expended on various pieces of work?

10. What are the methods of interacting with potential clients? (e.g. phone calls, printed material, oral presentations, demonstration events, etc.) With what frequency and in what sequences are various methods used?

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[5] An examination of *TAU* functioning was intended to enable the ITCP and NWREL to begin explaining <u>why</u> the *TAU* was feasible to the extent it proved to be and to enable the *TAU* to improve its functioning during FY 1976. Such an examination required: (a) an anlysis of the *TAU*, (b) an analysis of the *TAU's* clients (potential and actual) and (c) an analysis of interactions between the *TAU* and clients. An indepth examination of all possible variables in these three categories would have taken more time and staff than was available, so the questions here must be considered as only a preliminary or "starter" set which should be added to and refined in future evaluations.

11. To what degree and in what ways are the methods tailored or adapted to specific potential clients? To what degree do the methods make use of new or invented channels and two-way communication as opposed to familiar or existing channels and one-way communication?

12. What costs are incurred by the *TAU* in using various methods? What are the relative and absolute volumes of resources expended by the *TAU* for these methods?

13. What methods and sequences of methods "work best," i.e., are most often associated with potential clients who become actual clients of the *TAU*?

14. What are the demographic features (age, position, race/ethnicity, location, academic background, experience in education, previous experience with NWREL, ITCP or instructional systems, etc.) of potential individual clients that most often are associated with becoming actual individual clients?

15. What are the demographic features of decision makers most often associated with committing others or the agency to be an actual client?

16. What are the demographic features of agencies (size, location, locus of decision making, type of agency and previous relationship with NWREL, ITCP or instructional systems, etc.) most often associated with becoming actual agency clients?

17. According to the reports of actual clients, through what methods did they become aware of the *TAU* and decide to make use of its products and services?

18. According to the reports of actual clients, in what ways do they intend to make use of the instructional systems and the *TAU* in the future?

Questions related to evaluation procedures:

19. To what extent are evaluation procedures specified in this design carried out as planned?

20. What factors account for deviations from these procedures, if any?

21. What do the *TAU*, ITCP and NWREL wish to recommend in terms of future procedures for monitoring the feasibility and functioning of the *TAU*?

Overall Evaluation Methods

Because of the variety of information to be collected, a number of methods were devised. Methods were selected to the following criteria: (1) high likelihood of producing the necessary information, (2) more than one way to gather most kinds of information in case one or more methods prove to be unworkable and (3) requiring only some additional effort on the part of present *TAU* staff members and only some new staff.

The methods employed were also intended to build the self-analytic capability of the *TAU* in line with its objectives "to document, study and analyze strategies used." For this reason, methods that were totally dependent upon the presence of outside evaluators were rejected in favor of methods in which *TAU* members could participate.

Activity Report Forms

TAU members were asked to log any activity that met one or more of the following criteria: (1) it occurred on the 7th, 17th or 27th day of any month after June 1, 1976, (2) it had a direct relationship to the *TAU* but had little to do with other work components of the FRDWU or (3) it did not directly concern *TAU* activities, but in the minds of *TAU* members it was extremely important and might have had some indirect relationship to their abilities to do *TAU* work. A standardized form was provided (Appendix C) and NCR duplicator paper made it possible for the author, the *TAU* file and evaluation staff to have copies. (See Appendix B for a copy of this form).

Contact Record Forms

TAU members kept a written record of all potential and actual clients who were sent any kind of dissemination information, who participated in any FRDWU-sponsored activity, or who initiated action

vis-a-vis the FRDWU. A standardized form was provided (see Appendix C) for recording data that became available after June 1, 1976. Importantly, the *TAU* already had a tremendous backlog of relevant data in the forms of: (1) a record of all incoming telephone calls that dated back several months, (2) lists of persons and institutions who had purchased instructional systems, (3) lists of persons to whom NWREL had previously sent information about the ITCP and its instructional systems and (4) a correspondence file that included incoming letters and copies of outgoing letters and that dated back several years. Back-logged data were transferred to Contact Record Forms only if the person was involved after June 1, 1976.

Formal Documents and Records

Much of the information to be collected already existed in formal documents and records of the *TAU*, The FRDWU, the ITCP and NWREL. Examples of these sources included monthly computer printouts of the ITCP's budget; proposals, scope-of-work statements and contracts sent to NIE; evaluation reports by the ITCP; the instructional systems and dissemination literature. *TAU* members agreed to facilitate the search by earmarking relevant parts of documents and records for the evaluation staff upon request.

Informal Interviews

ITCP evaluation staff had many opportunities to interview *TAU* staff informally. Evaluation staff kept records of the questions they asked and answers they heard. Examples of topics for interviews included: the contents of a particular formal document or record, additional data from some Activity Report or Contact Record Form and the satisfaction of *TAU* members with evaluation activities.

Review Panel

Some of the information to be collected concerned judgments of the activities of the *TAU*. A four-member panel met for one day in November and gave *TAU* members feedback on their progress and plans. Evaluation staff convened this session and collaborated with *TAU* members and both ITCP and NWREL decision makers in determining whose opinions and what specific judgments and feedback to seek. (See Appendix D for a report of the Review Panel).

Postsession Reactions

Some of the information to be collected concerned the judgments, impressions or reports of actual clients about the ways in which they became involved and used or planned to use the services and products of the *TAU*. All clients who attended a workshop done by the *TAU* unit were asked to complete a Postsession Questionnaire or otherwise report their reactions. No standardized instrumentation was developed for this purpose, but a summary of reports from clients appear in the findings reported in Questions 17 and 18.

Interim Data Analysis Sessions

TAU members and the evaluation staff met periodically to examine data collected through other methods. Evaluation staff convened these sessions to report what Activity Report Forms to date showed about the activities of the *TAU*, such as how evaluation procedures were being implemented. In addition, these sessions were used to schedule or plan other evaluation activities such as the Review Panel Meeting. Minutes of these meetings were kept by the evaluation staff and excerpts are found in Appendix E.

Data collection procedures were monitored to insure that they protected the anonymity and privacy of subjects. Contact Record Forms included the names of actual people with whom the *TAU* members interacted, but these forms will not be made available to persons other than *TAU* members and evaluation staff and names or data that could be used to identify a particular potential or actual client of the *TAU* have been eliminated from the final report.

CHAPTER III: RESULTS OF THE EVALUATION

As previously stated, this evaluation collected information to make judgments about the feasibility of establishing the *TAU*, and to serve as a first stage upon which additional evaluations could be built. The major source of information was the *TAU* itself, the kinds of activities it engaged in and its results in terms of contracts signed and prospects for additional contracts.

This section is divided into three parts, corresponding to the organization of the evaluation questions. These categories include: a) questions related to the feasibility of the *TAU*; b) questions related to *TAU* functioning; and c) questions related to evaluation procedures.

Questions Related to the Feasibility of the *TAU*

Information for questions 1 through 5 was secured from members of the *TAU*, ITCP and NWREL decision makers, and the Review Panel. The methods used were informal interviews and the tape and report of the Review Panel's discussion (Appendix D).

1. To what extent does the *TAU* provide technical assistance to any interested users of ITCP instructional systems and become self-supporting in doing so?

All of the contracts signed by the *TAU* during the period under study were to deliver one of the ITCP instructional systems (see Appendix H). Most of the rest of the Activity Record entries indicate an interest in one or more of the ITCP products. This information suggests that the *TAU* does provide technical assistance to interested persons and agencies.

Whether the *TAU* becomes self-supporting in doing so is not so clear. The Review Panel found this question so significant and so perplexing that a large amount of its time was spent on issues surrounding

conditions which must exist and kinds of data which must be collected in order to know what is required for the *TAU* to become self-supporting. A discussion of these issues is included in Chapter IV of this report.

2. To what extent does the *TAU* ensure and facilitate the use of ITCP instructional systems on a shared-cost or total cost contractual basis and become self-supporting in doing so?

In each of the contracts signed during the period of study the cost of delivery of the instructional systems was written into the contract. These costs included trainer fees, travel and per diem for the trainers, workshop materials, transportation of things and indirect costs. In each case, the client assumed all costs of the contract. Expenses incurred in negotiating were paid by the *TAU*.

Information available does not include data about other costs prior to the delivery of the workshop, such as staff time to negotiate and sign the contract or telephone calls, correspondence, trips and other administrative costs connected to the consummation of the contract. These issues will be discussed in Chapter IV.

3. To what extent does the *TAU* solicit and contract with new clients and become self-supporting in doing so?

In conversations with the *TAU* staff it was indicated that during the period of study the staff, for the most part, responded to requests which came as a result of Laboratory mailings. Contracts which resulted from other than a responsive mode came about because the staff was already in the field working on another of the components for which the FRDWU was responsible. For instance, the contract to provide the *PETC-I* training to a Florida Teaching Center was secured because the staff was in Florida in connection with its work in the Florida Teacher Center dissemination effort. During the period of time under study, the *TAU*

did not actively solicit new contracts, so we cannot answer this question.

4. To what extent does the *TAU* develop and implement multiple strategies for disseminating individual ITCP systems and clusters of systems such as PODS and become self-supporting in doing so?

As mentioned earlier, the FRDWU completed a conceptual model to guide dissemination and diffusion of ITCP instructional systems and other programs or products of similar format. The staff of the *TAU* reported that they consider themselves as guided by this model. Conversations with the *TAU* staff and with some of the *TAU's* clients (see questions 17 and 18) indicate that the staff does intend to implement several of the strategies described by Arends. Field work is continually being done within the framework of the advantages of the entire ITCP curriculum. Clients stated that they are indeed conducting workshops, making adaptations of the materials and intending to use more ITCP products. Most of the contracts were made as a part of a continuous consultative relationship established by the *TAU* staff. In some instances, contracts were let in accordance with a client's intent to use the entire ITCP program. In other cases, clients hoped that the ITCP program could be installed.

The extent to which multiple strategies have helped the *TAU* become self-supporting will be discussed in Chapter IV.

5. To what extent does the *TAU* maintain a continuous relationship with the field to facilitate any future needs for field-based RDD&E efforts and become self-supporting in doing so?

The staff was continually in touch with the field, cultivating future needs for additional RDD&E efforts. Much of this work was done in conjunction with other work being done by the FRDWU and was not necessarily an activity unique to the *TAU*. As was stated earlier, most

TAU work to date has come about in a responsive mode. However, once relationships were established, the staff maintained them. The staff was alert to opportunities to make presentations and to conduct demonstrations and provide other kinds of awareness activities for anyone who indicated an interest in ITCP products.

The period under study was not long enough to make judgments about the relationship of this kind of activity and whether the unit is becoming self-supporting. The staff reported that all of the contracts signed during the period under study were in some phase of cultivation and negotiation for 18 months to 2 years before the contract was signed. There appears to be a long period of time between initial contact with a client and the signing of the contract. Maintaining continuous relationships is certainly a part of *TAU* operations.

Questions Related to *TAU* Functioning

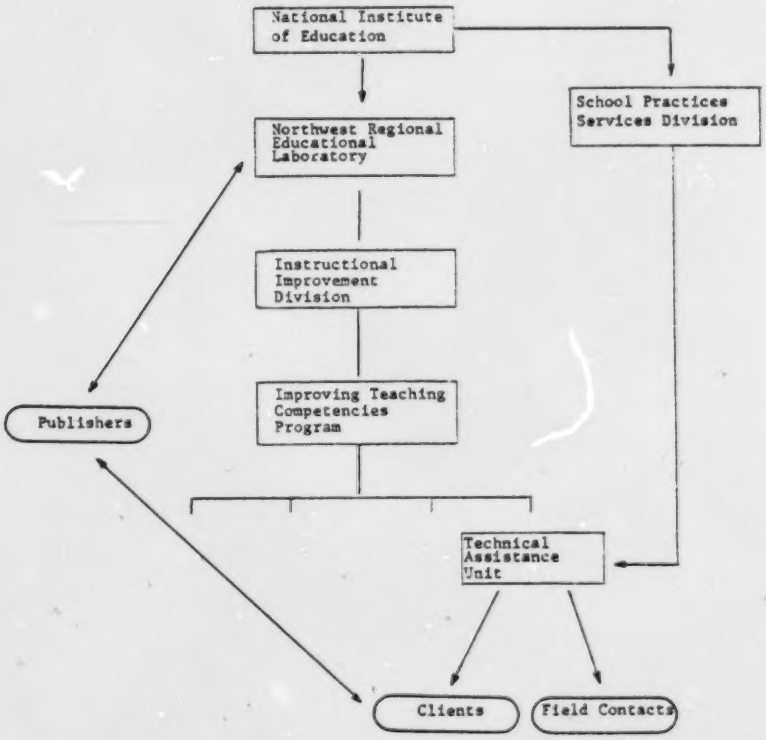
Information for questions 6 through 16 were secured by an analysis of the Activity Record Forms (Appendix F), analysis of the Contact Record Forms (Appendix G), by an examination of the Summary of Contracts and *TAU* Budget Records (Appendix H), by informal interviews with members of the *TAU*, and from the tape and Report of the Review Panel (Appendix D). Information for questions 17 and 18 was secured from the *TAU* staff, based on reports from clients.

6. What is the position of the *TAU* in its institutional environment? What components of the FRDWU, ITCP, NWREL, NIE and publishers are involved in *TAU* activities as goal setters, funders, technical assisters or consultants, decision makers, etc.?

The *TAU is* one component of the Field Relations and Dissemination Work Unit in the Improving Teaching Competencies Program. There are two other work units in the ITCP. ITCP, in turn, is one of five programs

in the Instructional Improvement Division. The Instructional Improvement Division, along with the Evaluation, Research and Computer Technology Division, the Multicultural Education Division, and the Educational Services Division, comprise the institutional framework of NWREL within which the *TAU* functions. The ITCP and all of its subparts are funded by NIE.

The parts of this framework are involved in the work of the *TAU* as follows:



7. What is the nature of *TAU's* institutional environment? From which components does the *TAU* draw resources of various kinds? What are the lines of accountability and influence between the *TAU* and other components?

The *TAU* in the ITCP is one of a number of work units in NWREL which provide technical assistance with the hope of becoming self-supporting. These various technical assistance units appear to operate independently of each other. One member of the Review Panel commented that there are no norms for these units to provide support or assistance to each other.

The ITCP initiates and responds to requests from outside sources for technical assistance and information. The nature of its work is to help its clients develop the capacity for their own training and consultation needs. Thus, if it does its work well, the *TAU* is in the position of needing to seek new clients constantly.

The *TAU* utilizes the resources of NWREL's Office of Marketing and Dissemination, the Office of Communications, the Media Center, the Graphic Designer, as well as the resources available in all the work units of the ITCP. The *TAU* is accountable to the Laboratory for completion of its contract within the framework of the entire ITCP scope of work. It works collaboratively to establish an interdependence with the Offices of Marketing and Communication. Historically, the *TAU* has functioned relatively autonomously in all aspects of its scope of work. The unit looks forward to finding ways and means of expanding the potential interfaces and possibilities for interdependence with the relevant components of the Laboratory.

8. What is the absolute and relative size of the *TAU* within the FRDWU in terms of FTE, budget, personnel qualifications?

The *TAU* is assigned 25% of the time, budget and personnel of FRDWU. The FRDWU is staffed with two full-time professionals, one full-time support person and one half-time support person. In addition, FRDWU had 60 person-days of consultant time in the period under study. Only 25% of of the total of this time went into *TAU* efforts. The Review Panel noted that the staff is too small to insure both field and office coverage and is too small to do the necessary work load involved in disseminating intact instructional systems while at the same time acting as technical assistants utilizing and applying the concepts and techniques in these instructional systems.

9. To which pieces of work within the *TAU* are personnel and other resources allocated? What relative and absolute volumes of resources are expended on various pieces of work?

The professional staff of the *TAU* have made a general distribution of who does which pieces of work, based on their perceptions of their strengths. One professional staff person responds to most of the requests for information, does the initial correspondence in most cases, and meets with people who come to NWREL seeking information. The other person does most of the contact work in the field and final contract negotiations.

The support staff shares responsibilities for support work to be done, with one exception. One support staff member manages the budget. This decision was made by the professional staff at the time the second support staff person was secured. Decisions about distribution of other responsibilities are made in staff meetings.

10. What are the methods of interacting with potential clients (e.g., phone calls, print material, oral presentations, demonstration events, etc.)? With what frequency and in what sequences are various methods used?

The Activity Report Forms, Contact Records and conversations with the staff indicate that the greatest frequency of interaction with clients is by some kind of face-to-face activity. The next most frequent kind of interaction is by phone (see Appendix F). Typically, a Laboratory mailing produces a request for further information, which is responded to. The next activity may be a telephone call or a personal meeting. Staff members prefer personal meetings, but consider telephone calls preferable to correspondence. Correspondence typically accompanies requests for information, follow-up meetings and information surrounding the details of signing a contract.

11. To what degree and in what ways are the methods tailored or adapted to specific potential clients? To what degree do the methods make use of a new or invented channels and two-way communication as opposed to familiar or existing channels and one-way communication?

Methods used by the *TAU* are tailored to specific potential clients in the sense that there are few instances of "form letters" or routine correspondence. One staff member commented that in one instance where there was an effort to formulate a single response to inquiries resulting from a special mailing it proved to be impossible because the inquiries varied just enough to make a form letter inappropriate.

The staff's commitment to two-way communication probably accounts for its preference for telephone calls and face-to-face meetings. They report they have not given serious attention to what might be accomplished "with a 13¢ stamp." At one time, the staff considered the value of preparing a slide-tape presentation. They came to the conclusion that the value of such a presentation vehicle would not be worth its cost. One inference that could be made from this decision is that the preference of the staff for tailoring all its interactions with potential clients precluded such a "canned" promotional device.

12. What costs are incurred by the *TAU* in using various methods? What are the relative and absolute volumes of resources expended by the *TAU* for these methods?

There is no information available which tells us the precise costs of the various methods used by the *TAU*. Some staff time and administrative costs are written into special contracts, but there is currently no means of telling the extent to which these costs cover actual expenses of delivering a contract.

13. What methods and sequences of methods "work best," i.e., are most often associated with potential clients who become actual clients of the *TAU*?

The sequence of activities which culminate in a contract are typically these: 1) a request for information is responded to; 2) the potential client displays interest; 3) the *TAU* will then make a telephone call or seek opportunity for a face-to-face meeting. Then there ensues a generally long period (12 months to 2 years) of cultivation, which usually entails more telephone calls, person-to-person meetings, consultation about the proposed contract, help with identifying funding sources and/or allocation of resources to the project. Negotiation of specific contract elements is a part of this process. Finally, all necessary elements have been negotiated and the formal contract is signed.

14. What are the demographic features (age, position, race/ethnicity, location, academic background, experience in education, previous experience with NWREL, ITCP or instructional systems, etc.) of potential individual clients that most often are associated with becoming actual individual clients?

The persons most likely to become clients of the *TAU* are persons in school districts, universities and other educational administrative units who are directors of projects, coordinators of training, directors of staff development, or administrators. They are located in widely separated places, from Hawaii to Virginia, British Columbia to Florida, California to Massachusetts. Some of them have participated in one or more ITCP instructional systems. In some instances, they were present at an ITCP presentation. In others, they heard about ITCP from a colleague.

While concrete information about their academic background, ethnicity and age are not available, they have the prerequisite background and experience to hold administrative positions in educational agencies other than school buildings.

15. What are the demographic features of decision makers most often associated with committing others or the agency to be an actual client?

We have no information about these persons other than reported in answer to question 14.

16. What are the demographic features of agencies (size, location, locus of decision making, type of agency and previous relationship with NWREL, ITCP or instructional systems, etc.) most often associated with becoming actual agency clients?

The agencies range in size from a large state department of education to a teaching center that services one county, and from a large school district to a program within a district. The agencies are typically administrative units with training and staff development functions. The individual from the agency contracting with the *TAU* frequently has control over a training budget, so that going to another decision making source is not necessary.

In most instances, personnel within the agency itself have had some first-hand experiences with ITCP products, even though the entire agency may not have participated in any of the instructional systems.

17. According to the reports of actual clients, through what methods did they become aware of the *TAU* and decide to make use of its products and services?

Telephone interviews were conducted with 5 of the 7 persons who contracted with the *TAU* during the period under study. In each case, awareness of the *TAU* came about differently, as follows:

1. A school district superintendent had known about NWREL through the Lab's connection with the University where he did his Ph.D. work.

2. A superintendent of an educational services district had known about NWREL from its inception, studied NWREL publications and invited *TAU* staff to meet with his advisory group to explore the advantages of using ITCP curriculum.

3. An administrator in a state department of education heard about ITCP from another administrator who had participated in a workshop.

4. The director of a teacher education center found out about ITCP when a *TAU* staff person was in his state on other business and made a presentation.

5. The coordinator of training for administrators in a large school district found out about NWREL and ITCP products and materials about two years ago through a member of his committee which has the task of planning a training program for administrators and were developing a bank of training resources. The coordinator has decision making power unless the amount of the contract exceeds a certain amount, in which case he must get the approval of the superintendent. He reports the approval is readily secured, since the superintendent respects and trusts his judgment.

In one case the individual was in a position to make the decision and proceeded to negotiate the contract. In another case, a considerable amount of government clearance and achieving consensus among staff involved was required before completing the contract. In two cases, the individuals secured the approval of a group with budget authority before the contract was signed.

18. <u>According to the reports of actual clients, in what ways do they intend to make use of the instructional systems and the *TAU* in the future</u>?

The five clients interviewed varied in their responses to this question, as follows:

1. The district superintendent indicated he had no specific plans for using the instructional systems, but intended to work out some training and had made some adaptations of one of the ITCP systems with this in mind. He had no plans to make further contracts with the *TAU*.

2. The superintendent of the educational services district said that he had a tentative commitment with the *TAU* to use the entire ITCP curriculum to prepare a cadre of trainers. He said workshops were being conducted at this time to that end.

3. The administrator in the state department of education stated that while the workshop had been very practical and useful for the participants, he was reluctant to say the services of the *TAU* would be contracted for again. He cited the cost of *TAU* services as being a block to further relationship with the *TAU*.

4. The director of a teacher education center declared that the skills represented by ITCP materials were desired for the district, that in his district systematic work was being done to prepare educational consultants, and that he intended to continue to use the resources of the *TAU* to meet his objectives.

5. The coordinator of administrative training has already had people trained in most of the ITCP products and has selected some of those trainers to conduct other workshops in the district. Although this is not being done systematically at the moment, he is currently doing the necessary internal work to develop a small cadre of people to become organizational specialists for the district. He plans to continue to use the resources of the *TAU* once or twice a year as part of his total training program.

Questions Related to Evaluation Procedures:

The informaton in questions 19 through 21 was secured by data analysis sessions (Appendix E) with the *TAU* staff and by informal interviews with the *TAU*, ITCP and NWREL decision makers.

19. To what extent are evaluation procedures specified in this design carried out as planned?

The evaluation procedures were carried out as planned with two exceptions--Interim Data Analysis Sessions and the Postsession Reaction Questionnaire. The Interim Data Analysis sessions were attended only by *TAU* staff and the evaluators. The evaluation staff did not use a questionnaire, so did not compare the results of *TAU* interventions with FRDWU activities in IGE schools and the Florida Teacher Center Network.

20. What factors account for deviations from these procedures, if any?

Three factors account for the deviations from the evaluation procedures as designed: the shortness of time, the *TAU* staff's heavy involvement in other FRDWU and ITCP activities and budget restrictions.

These three factors created problems of having to cancel scheduled meetings, of being unable to involve other ITCP and NWREL personnel, and of having insufficient funds to construct, administer and analyze a Postsession Questionnaire.

21. What do the *TAU*, ITCP and NWREL wish to recommend in terms of future procedures for monitoring the feasibility and functioning of the *TAU*?

The *TAU* recommend that a full-time coordinator of *TAU* activities be secured. The coordinator would have full salary and a travel budget, thereby making it possible to make the contacts and do the negotiating for contracts needed without the necessity of having to generate salary and travel funds. The *TAU* staff recommends further that an evaluator/documenter be secured at about a .25 FTE level to work with the coordinator so that adequate documentation and continuous evaluation of *TAU* activities can be done.

ITCP is in general concurrence with the recommendation of NWREL (see below), but would like to suggest considering the creation of a Laboratory-wide *TAU*/dissemination unit for mature products. ITCP has two reasons for this recommendation:

1. Some of the "front-end" costs of creating awareness program materials, establishing personal contacts to explain and translate the Program values to the unique needs of the client, and negotiating contracts might be reduced if *TAU* personnel from a number of Lab programs were briefed about other Lab services and products.

2. The demands which ongoing R&D programs make on dissemination staff often conflict with the needs for establishing a self-supporting *TAU*. For example, the R&D program may prefer that staff time be spent

writing reports describing field work plans to satisfy funding agency requirements and hence secure funding, while clients require face-to-face meetings in the field to explore relevance before signing contracts.

NWREL is of the opinion that a *TAU* appears to be feasible only as an adjunct to an on-going program within the Laboratory. This opinion is based on the observation that while the costs to actually deliver technical assistance and training can be supported by the field, the initial costs which culminate in contracts are probably not recoverable unless the volume of business is quite high.

CHAPTER IV: SUMMARY AND DISCUSSION

This chapter contains a review of the evaluation methods and a discussion of the findings. It concludes with some recommendations to the various audiences this report addresses.

Review of Overall Evaluation Methods

The evaluation methods were devised in such a way as to secure full participation of the *TAU* staff in this study with the assistance of two evaluation staff and to ensure the likelihood of securing the information needed with minimum additional effort by *TAU* staff.

The methods used for securing information included the following: 1) the *TAU* staff completed two forms: Activity Record Forms and Contact Record Forms; 2) the evaluation staff conducted periodic interviews with the *TAU* staff; 3) both staffs conducted interim analysis sessions; 4) the evaluation staff collected documents relevant to the *TAU* work, such as ITCP budgets, proposals, scope of work statements, dissemination materials, correspondence with clients; 5) a Review Panel was convened to react to data collected and to make recommendations to the *TAU*.

Discussion of the Findings

In this section of the chapter, the evaluation findings will be discussed within the framework of the organization of the evaluation questions. First, the findings related to the feasibility of the *TAU* will be discussed; second, the findings related to *TAU* functioning will be discussed; finally, the findings related to the evaluation procedures will be discussed.

Feasibility of the *TAU*. The period of eight months to study the activities of the *TAU* did not provide sufficient time for an adequate

range of activities to occur nor to make possible the collection of information to form any opinions about the extent to which the *TAU* can become self-supporting. The evaluation questions related to the feasibility of the *TAU* cannot be answered at this time. In addition to the short period of the study, the limited allocation of staff time and budget for *TAU* activities during the period of study has contributed to the small number of activities and data. Twenty-five percent of the FRDWU budget for staff time did not provide opportunity for an adequate sample of activities and events that would generate valid and sufficient information to help arrive at conclusions concerning the feasibility of the *TAU*, including its self-supporting capabilities.

In taking notice of the feasibility questions and the issue of becoming self-supporting, the Review Panel also pointed out that the amount of money earned by the *TAU* during the period of study, which almost equals the amount budgeted for the *TAU* from NIE funding cannot be used as a useful criteria for extrapolating self-supporting capabilities in the future. There are a number of reasons for this judgment: 1) budget and time allocated to the *TAU* staff was a basic 25% of the FRDWU budget; 2) it was impossible to keep a careful record of actual costs of *TAU* activities because of the interdependence and close interrelationship of the 25% of time allocated to *TAU* activities and the 75% of the staff time allocated to the other activities the staff conducted in the total FRDWU; 3) the special contracts secured by the *TAU* between May and October, 1976 paid for the actual delivery of the contracts, plus a small amount called "occupation costs," for some staff time plus the standard NWREL indirect costs; (not all costs related to the negotiations and administration of the contract, i.e., promotion, telephone calls, consulting are paid for in the contract. For example,

The "occupation cost" figure contributes to space, telephone, facilities, planning, adapting time and other administrative costs to be able to meet contract terms); and 4) no provision for staff development and maintenance time has been accounted for.

It seems clear that without other resources to support marketing and staff development activities, the *TAU* will remain unable to fully support itself. The Review Panel was quite clear in its opinion that the *TAU* needs to collect more information for a longer period of time about what is required to operate a *TAU*, particularly information derived from a precise and careful analysis of all aspects of the *TAU* operation. It must be stated that given another year of study with increased sophistication in record keeping, careful analysis of cost effectiveness, and increased staff time allocated to *TAU* activities, the possibilities for getting answers to the questions concerning the extent to which the *TAU* can become self-supporting would be increased.

Functioning of the *TAU*. This section contains a discussion of findings about how the *TAU* functions in its institutional environment, its interactions with its clients, characteristics of its clients and what its clients report about it.

1. Institutional arrangements

The *TAU* does its work within the ITCP, using some other units of NWREL as resources. It is one of a number of *TAU's* in NWREL, all of which appear to be functioning independently of each other. The *TAU* was assigned 25% of the time, budget and personnel of the FRDWU. The *TAU* staff spent the other 75% of their time, budget, personnel doing other FRDWU work. The *TAU* has made use of six other resource personnel

on a consultative basis. These persons received assignments in meetings with the *TAU* staff for different aspects of the *TAU* scope of work.

Planning, allocation and coordination of resources are accomplished in staff meetings where each person accepts assignments for parts of the work.

Given the limitations of a small staff and budget, the *TAU* has performed remarkably well. It is logical to conclude that given its achievements, based on a 25% budget/time assignment, the *TAU* could produce increasingly greater results if the staff had the opportunity to focus on the *TAU* activities only. It is quite possible that the *TAU* could profit by intensifying its efforts to interface with other *TAU's* in NWREL and work in the direction of interdependence with these units.

2. Interacting with Clients

The *TAU* prefers to work with clients and potential clients in a personal way, tailoring its approach to clients' needs. The methods used most frequently in contacting clients and negotiating contracts with them were face-to-face meetings and telephone calls. Most of the time a personal meeting with clients necessitated a trip, but quite a number of the meetings were conducted in connection with trips taken by the staff to conduct other FRDWU work. The use of correspondence as a method of interacting with clients is minimal. It is usually employed to answer requests for information, to communicate details of a contract, or to follow-up personal meetings and phone calls. The costing procedures currently used by the *TAU* do not include information about the exact costs, time and resources expended by these methods of interacting with clients.

Although there is no information about the cost-effectiveness of these methods, it is evident that the *TAU* is using an expensive methodology for interacting with clients. A plan for collecting information about the cost-effectiveness of this methodology in terms of time, expenses and number of contracts secured would be useful. The evaluators recommend experimentation with other methodologies, including a precise cost accounting, to make comparisons with methodologies currently in use.

3. Characteristics of Individuals and Agencies who became *TAU* clients

The persons and agencies who became *TAU* clients during the period under study were mostly persons in staff development and administrative training working within rather large educational agencies, such as school districts, teacher education centers and state departments of education. The clients were widely disperse extending from Hawaii to Massachusetts, Washington to Florida. The clients usually had had some experience with ITCP materials in workshops or demonstrations. In a few instances, they had heard about ITCP from someone who had had first-hand experience of ITCP materials. In one instance, a client had participated in the work that resulted in the establishment of NWREL.

It would appear from this information that the *TAU* will be most successful in securing contracts from persons who have decision-making and budget authority or who can influence decisions and budgets. Contacts with the *TAU* that have not resulted in contracts generally originate with individuals in school buildings or in other agencies who do not have decision-making and budget power.

The information also suggests that the approach used by the *TAU* results in contracts with "the establishment". Such an approach could

cause difficulty in being responsive to the "grass roots" individuals who are interested in personal and professional growth. The clientele of the *TAU* is thus maybe limited to the individuals and agencies that have the capability to decide the allocation of resources and time to activities with the *TAU*.

4. Reports from client

Clients found out about ITCP materials in a number of ways, including by word-of-mouth, through demonstrations, by reading and responding to NWREL mailings and because of long-time knowledge of NWREL. In all cases, the clients either had decision-making and budget power or had great influence on these processes.

In each case, the client expressed satisfaction with the quality of the services performed by the *TAU*. Half of the clients interviewed indicated their intentions to continue to utilize ITCP materials in training cadres of trainers or organizational specialists and to seek the services of the *TAU*. In the other half interviewed, the clients were unable to say that additional work with the *TAU* would be sought.

It may be that clients whose objectives include preparing a cadre of persons to do training or organizational work are more likely to become "continuing clients" than are people who are interested in just one training event and have no plan for systematically building in a capacity to provide training and organizational work internally. We have too small a sample to venture this kind of a generalization, although it seems logical to conclude that potential clients who have the desire to build into their system the kind of training capability ITCP materials can provide, and are making systematic plans to that end, are quite likely to look for ways and means to utilize the services of the *TAU* and materials produced by ITCP.

Evaluation Procedures. In this section, the findings regarding the extent to which the evaluation procedures were followed, deviations from the procedures, and recommendations regarding the future procedures for monitoring the *TAU* are discussed (to be supplied in conjunction with the NWREL Review).

Conclusions and Recommendations

The evaluators are of the opinion that it is impossible to give good advice based on the data collected during this study. There are a number of reasons for this belief. First, the interconnection and interdependence of the *TAU* with the other components in the FRDWU make identifying clear distinctions between them extremely difficult. Second, eight months of study is not long enough to reach conclusions. For instance, a typical time span from contact to contract is 18 months to two years. Third, the time and budget assigned to the *TAU* for this study was inadequate. Fourth, the budget assigned to the evaluation staff precluded some kinds of activities (i.e., securing external consultants for the Review Panel). The outstanding result of the evaluation study is that more study is needed before conclusions can be reached and generalizations made. It is in this framework, that the evaluators present some very tentative recommendations to the *TAU*, ITCP and NWREL.

1. Develop a cost tracking system for all the functions of the *TAU* which will provide information concerning staff time expended, direct costs, non-direct costs for:

    a. Marketing, including advertising, face-to-face contacts, consultative selling (selling based on diagnosis of client needs and desires), presentations and demonstrations, contract negotiations, telephone selling, correspondence, following-up on contracts, other administrative costs related to securing contracts.

b. Providing the Technical Assistance, including planning, customizing, staffing the contract, delivering the contract, consulting with the client.

c. Maintaining the Staff, including staff meetings, staff renewal, supervision of staff, negotiating with the institution, staff development.

2. Engage in more comprehensive documentation of the *TAU* activities so that more information is available for assistance in making decisions about the future of the *TAU*.

a. Develop criteria for making judgments about potential clients, i.e., what makes it worth pursuing the uniqueness of a potential client?

b. Design and utilize a method for evaluating contacts as to their "hot-ness" or "cold-ness" which will be continually changing with the value of the contact for eventually securing a contract.

c. Maintain a documentary account of the activities which lead to a contract, including dates when initial contact was made and when the contract was signed.

d. Make an analysis of the kinds of contacts which eventually produce contracts, i.e., presentations, NWREL mailings, experience with ITCP/NWREL products and materials, word-of-mouth, ERIC search, personal contact.

3. Reconceptualize, clarify, sharpen the mission and mission objectives of the *TAU*, especially as they relate to the implications for the *TAU* as to whether to concentrate on selling ITCP products or to place emphasis on providing services to clients to help build in an internal capacity for self-renewal.

4. Provide support for the *TAU* in the larger NWREL structure by making the *TAU* an integral part of that structure, in company with other similar *TAU* operations, possibly housed in the Educational Services Division.

This recommendation arises from a discussion in the Review Panel during which three points were made:

a. Other *TAU's* in NWREL have similar problems to the ITCP *TAU*, but there is no mechanism for these staffs to get together to help each other.

b. If all the NWREL *TAU's* were housed in one administrative place, the chances for helping each other increase their business would be enhanced. For example, staff of one *TAU* could be alert for potential clients for the staff of another *TAU*.

c. Under an arrangement like this it might be possible to establish a *TAU* which would focus on providing training from a lab-wide point of view.

5. Secure funds to make the *TAU* a separate and distinct unit from the FRDWU with the following staff: one full-time professional, ½ time professional and ½ to full-time secretary.

It is our opinion that until the *TAU* is completely separated from the FRDWU it will continue to be extremely difficult to study its function or its feasibility.

The reader of this report may want to refer to the Report of the Review Panel, Appendix D, for additional statements of advice and recommendations.

Appendix A:

ESTABLISHMENT OF A TECHNICAL ASSISTANCE UNIT

COMPONENT #5

ESTABLISHMENT OF A TECHNICAL ASSISTANCE UNIT

Purpose: Establish a technical assistance unit as an adjunct to Program 100 to facilitate the initiation, installation, implementation, utilization, continuation and diffusion (IIIUCD) of the ITCP instructional systems to any potential users.

Rationale: One of our aims is to disseminate training in Improving Teaching Competencies Program instructional systems to help bring about change in behavior of individuals, small groups, educational organizations and subsystems within educational organizations. In order to carry out this aim we need to provide technical assistance to help clients understand what the instructional systems will and will not do, how to install them, what needs to be done to adopt or adapt them, how to implement them, how to utilize them and how to stabilize the efforts for maximum benefits to accrue to the organizations.

Another aim is to study the process of installation, initiation, implementation, utilization, continuation and diffusion of ITCP instructional systems.

A third aim is to build bridges for the future. One way to build a bridge for the future is to establish a technical assistance unit as part of the Program to solicit and respond to interested organizations or groups who wish to participate in one or more of ITCP instructional systems.

Objectives:

1. To provide technical assistance for any interested users of ITCP instructional systems.
2. To ensure/facilitate the IIIUCD process on a shared-cost or a total cost contractual basis.
3. To solicit and contract with new clients.
4. To develop and implement multiple strategies for carrying out the IIIUCD process of ITCP systems and clusters of systems, e.g., PODS.
5. To document, study and analyze strategies used and/or implemented.
6. To determine the extent to which this Technical Assistance Unit can become self-supporting.
7. To maintain a continuous relationship with the field to facilitate any future needs for field based RDD&E efforts.
8. To reach a shared understanding of how this unit will interface with other Lab administrative units, e.g., Office of Dissemination and Marketing, Educational Services Division, etc.

SPECIFIC TASKS	ESTIMATED TIME REQUIREMENTS
1. Design a plan for the establishment of a TA unit as an adjunct to Program 100.	10 days
2. Get plan for TA unit approved:	7 days
2a. Hold a meeting with appropriate NWREL administrators to present plan and get reactions.	
2b. Modify plan based on administrators input.	
2c. Hold meeting to discuss revised plan.	
3. Develop guidelines for appropriately responding to individuals, groups, and/or organizations, technical assistance related to the ITCP instructional systems.	4 days
4. Develop multiple strategies for carrying out the IIIUCD process for ITCP systems and system clusters.	11 days
5. Implement multiple strategies identified.	30 days
6. Develop a plan for identifying and obtaining <u>new</u> clients.	11 days
7. Implement plan for identifying and obtaining new clients.	30 days
8. Documentation of activities and events.	9 days

FLOW CHART ON ACTIVITIES

Activity	Jan.	Feb.	March	April	May	June	July	August	Sept.	Oct.	Nov.
Task 1	xxxxx										
Task 2	xxx										
Task 3		xx									
Task 4		xxxxx									
Task 5		x	x x	x	x x	x	x	x x	x x	x x	x
Task 6		x	xx	xx	x						
Task 7			x	xx	xx	xx	xx	xx	xx	xx	
Task 8		x	x	x	x	x	x	x	x	x	

Appendix B:

ACTIVITY RECORD FORM

Work Unit Activity: _____

ACTIVITY REPORT FORM

Person Reporting: _____ Date: _____

Length of Activity: _____ Date(s) of Activity: _____

Other(s) Involved in Activity:

Program/NWREL Staff: _____ _____

Others:

Name(s)	Position/Organization	Address & Phone Number (key persons)

Relevant Preparation: Time Taken: _____

Type of Activity: Telephone _____ Meeting _____ Other _____

Purpose of Activity:

Description of Activity:

Plans for Action: Time Estimated: _____

Appendix C:

CONTACT RECORD FORM

CONTACT RECORD FORM

State: _____

Agency: _____

Name: _____

Address: _____

Phone: _____

Known Characteristics of Person:	Date	Known Characteristics of Agency:	Date

Date: Initiator/Activity:

Appendix D:

REPORT OF THE REVIEW PANEL

REPORT OF THE REVIEW PANEL

The Review Panel met all day on November 5, 1976. In attendance were the professional and support staff of the *TAU*, the Director of NWREL's Division of Educational Services, the Director of the ITCP, two professional staff from the NWREL Rural Education Program, one person from CEPM, University of Oregon, one person from the Department of Education, University of Oregon and two evaluation staff.

The Review Panel was asked to address itself to a basic framework:

1. What is required for a well-functioning *TAU*?
2. What appear to be critical activities for a *TAU*?
3. What hunches or advice should be considered by a *TAU* if it is to become self-supporting?

The evaluation questions the Review Panel was asked to focus on were numbers 1, 2, 3, 4, 5 11 and 13 found in Chapter 2 of this report. Members of the Panel were provided with a list of the evaluation questions, a statement of the context of the evaluation, summaries and analyses of Activity Record Forms and Contact Record Forms and copies of notes made during Interim Analysis Sessions.

The Panel concluded that the *TAU* was generally on the right track in its efforts to facilitate the initiation, installation, implementation, utilization, continuation and diffusion of the ITCP products. However, the period of study was not lengthy enough or of sufficient depth to produce needed information to establish whether or not the *TAU* as presently constituted can become self-supporting. The Panel spent much of its time in a discussion based on the phrase, "and become self-supporting in doing so," found in the feasibility section of the evaluation questions. The Panel also noted the need for more data over

a longer period of time before generalizations can be made. Attention was also paid to the extent of and need for greater interdependance with other *TAU*-like units in NWREL. Finally, the Panel had some words of advice for the *TAU* and some "hunches" to share about what would be needed for the *TAU* to be successful.

The Panel concluded that in order for judgments to be made about the feasibility of the *TAU*, a more detailed accounting of the actual costs of the *TAU* over a longer period of time was needed. One member noted that there appeared to be at least three major functions in the *TAU*--marketing, providing the technical assistance and staff maintenance and development--of which special contracts only generated funds for providing the technical assistance, or the delivery of the contract itself. The Panel made some recommendations about a more detailed documentation and cost accounting for the three major activities the *TAU* needs to keep in mind as it continues to develop. These recommendations are included in the last section of this report.

The members of the Panel were convinced that clients would be unwilling to pay all, or even a substantial part, of the expenses incurred in marketing and in staff maintenance and development. An implication is that the *TAU* needs an economic base which can provide funds for the real costs it incurs. Illustrations of groups like the *TAU* who have an economic base are those who publish materials or who have university positions.

Members of the Panel noted that the problem of the *TAU* then became one of persuading NIE, or some other funding source, to support the *TAU* marketing and staff development functions. The other alternative seems to be to become highly competitive and possessive of its resources.

Such an alternative is contrary to the value system of the *TAU*, which is inclined to want to find ways to provide clients with what they need.

The Panel discussed the dilemma faced by the *TAU* due to its interest in providing technical assistance that builds in a capacity in the organization to become increasingly self-sufficient by acquiring the internal capability for problem solving, and the necessity faced by the *TAU* of selling services in order to survive. The conclusion is that the more the *TAU* chooses to function in its preferred mode of operation, the fewer the return calls from clients.

The Panel noted that quite a number of *TAU* activities resulted from contacts made when the staff was already in the field on some of its other business, further obscuring actual costs of operating the *TAU*. For this and other reasons, the Panel made some recommendations regarding a clearer differentiation between *TAU* costs and costs connected to other FRDWU activities. These recommendations are included in the last section of this report.

Members of the Panel expressed the opinion that the *TAU* would be well advised to rethink their methods of accounting for time and costs of achieving *TAU* functions. For instance, how much time is spent in marketing, i.e., advertising, face-to-face promotion, consultative selling, making presentations, telephoning potential clients? What do these activities cost? How much time is spent and what does it cost, to deliver the contract, i.e., planning adaptation, customizing to the needs of the client, actual delivery of the service? How much time is spent, and what does it cost, to maintain the staff, i.e., staff development, staff meetings, staff renewal, responding to institutional requests? One member of the Panel characterized this kind of accounting as functional accounting. The opinion was offered that this kind of

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accounting would produce a more accurate picture of how the *TAU* functions than its present system, and would be a useful base from which to make decisions about the *TAU*.

One issue considered by the Panel arose from a discussion about the institutional arrangement within which the *TAU* does its work and the effect this arrangement has on the feasibility of the *TAU*. It was noted that other *TAU's* in NWREL face problems quite similar to the *TAU* in ITCP. However, staff of these *TAU's* do not meet together to work on common problems, nor do they appear to support each other. One member stated an opinion that the various *TAU's* did not see this kind of activity as being in their best self-interest. The perception of some members of the Panel is that NWREL does not provide sufficient support and coordination for its *TAU's*.

Throughout the meeting members of the Panel offered advice, and recommendations to the *TAU*. There were a number of "hunches" offered. The final section of this report lists these.

RECOMMENDATIONS AND HUNCHES

Internal Functioning of the *TAU*

1. Devise a cost tracking system to determine the "real" costs of doing business to include:

   a. Number and cost of telephone calls, letters, meetings, trips to secure a contract.

   b. Administrative costs incurred in delivering the contract, such as preparing contracts, ordering materials, preparing materials for an event, making arrangements for an event.

   c. Number and cost of internal meetings for planning, resolving issues, staff maintenance and development.

   d. Investigate the possibility of a *TAU* focused on training--possibly Lab-wide--with the capacity to provide a wide range of training services.

2. Produce a plan for making judgments about potential clients, to include:

   a. Develop a formula for responding to requests. Determine whether or not to respond to all requests.

   b. Determination of criteria for judgment about the "hot-ness" or "cold-ness" of a potential client.

   c. A way to determine how the value ("hot" or "cold") of a potential client changes over time.

   d. A way to determine how useful judgments about clients are and in what ways they affect the priorities of the *TAU*.

3. Find ways and means to continually reconceptualize and revitalize ITCP products and their use. The packages are static.

4. Look at the *TAU* functioning separately from all other FRDWU activities in order to be more precise in determining what it really costs to operate a *TAU*.

5. Determine how much royalty comes to NWREL as the result of sale of materials; compute the effect on the cost effectiveness of the *TAU*.

6. Do cost accounting functionally, i.e., costs of *TAU* functions of marketing, servicing and maintaining the staff.

7. Prepare an historical reconstruction of contracts signed during the period of study to assist in the identification of all the costs incurred in securing a contract.

8. Become as explicit as possible about strategies. Write them down. Make use of the Bolman Model for Intervention Theory to assist in this process. (See *PETC-III* instructional system).

Field Orientations of the *TAU*

1. Operate from the perspective that schools have problems they want solved, instead of persuading schools tc install ITCP systems.

2. Concentrate on helping schools adapt ITCP curriculum to their own needs.

3. Become field oriented instead of NIE oriented.

4. Consider whether an organizational development mode of needs assessment, which leaves the client in control, or a marketing of services mode, which leaves the *TAU* in control, is the best way to approach the field.

Marketing Ideas for the *TAU*

1. Find ways to enlarge the *TAU*.

   a. Provide a large, diversified list of offerings.

   b. Invite people who are technical assisters to join NWREL for a year and pay a fee. In return NWREL (the *TAU*) could act as broker to secure jobs.

2. Utilize the expertise of NWREL-related people to develop curriculum and promote their availability.

3. Help schools find funding--help them to write proposals to secure funding.

4. Offer to help school people write Title I proposals; in return for which the proposals would include staff development training provided by the *TAU*.

5. Concentrate on "selling" yourself and what you can do instead of being bound by the approach of selling ITCP packages and materials.

6. In 1977 concentrate on presentations and demonstrations of the uses of ITCP products.

7. In 1977 cultivate past users of ITCP products.

Appendix E:

MINUTES OF THE INTERIM ANALYSIS SESSIONS

Interim Analysis Sessions

July 22, 1976 - (In attendance: 2 evaluators, 2 professionals from TAU)

The main agenda items were to clarify support staff assignments in the TAU to facilitate the evaluators in locating needed information and to set dates for future meetings.

Dates for future meetings:

August 16, September 2, October 4, October 29.

In addition the evaluators will interview the TAU staff informally as the occasion presents itself.

August 17, 1976 - (In attendance: 2 evaluators, 2 professionals from TAU)

The main agenda for this meeting was to inquire into staff reaction to the use of the Activity Report Form (ARF).

1. Is filling in the ARF a useful activity?

   - Useful for capturing highlights of a meeting, especially in follow-up meetings. The record makes it possible to continue on and avoid unnecessary repetition
   - Provides a way to reflect on what the contact was all about as well as providing a source for review
   - Useful as a reminder
   - Provides a communication link in the TAU
   - Most ARF are face-to-face activities--phone calls are usually recorded on the Contact Record Forms
   - An effort is made to record every activity because they are so useful
   - Form can be improved on by adding kind of contact, by adding reactions to the contact
   - It is hard to remember to fill in the ARF

2. How do you feel about filling in Activity Record Forms?

- Good feelings

- Good feelings, although when in the field it is hard to keep up. It is sometimes difficult to fill in the ARF at the time, so it gets done later. It is hard to remember details until return to the office

- Positive feeling has resulted in a decision to continue this kind of record keeping

The *TAU* staff identified the following items as additional work to be recorded in the ARF:

- Preparing materials for workshops
- Preparing promotional materials
- Recording phone calls
- Recording workshops
- Recording meetings--e.g., planning for presentations
- Writing letters
- Negotiating
- Contracting

The *TAU* staff identified the following as additional questions to be answered:

- What problems have you found in writing ARF's?
- What *TAU* problems are you becoming aware of?
- What hunches do you have about what it takes to run a *TAU*?

September 10, 1976 - (In attendance: 2 evaluators, 2 professionals from *TAU*)

Agenda items for this meeting:

1. Review Activity Record Forms
   - o Interview staff about content
   - o Review objectives of the *TAU*
2. Review evaluation questions

3. Make plans for Review Panel

4. Make a proposal for October 4 meeting

The following proposal for our October 4 meeting was agreed to:

- o Conduct an intensive interview of the ARF's which relate directly to the *TAU*

- o Inquire into what makes an activity, e.g., a teacher education activity, become a *TAU* activity

The following comments were made in response to questions from the evaluators:

1. There are no problems with the evaluation procedures that are not the human ones of remembering to take the forms and the time lapse between the activity and filling in the form. Interviewing about the activity helps.

2. Correspondence has slacked off. There is a close relationship between correspondence and field work. There has been little time for field contacts because of the press of other work.

3. *TAU* contacts are, by preference, made largely by telephone and by face-to-face contacts. The effectiveness and usefulness of correspondence has not been tested.

4. At this time there is no going out to seek business. The *TAU* is responding to inquiries coming as a result of NWREL mailings, workshop experience with staff and follow-up of leads secured in other (not *TAU*) contacts.

5. Face-to-face contacts are critical and have come about because staff was already out in the field on other FRDWU business.

6. A *TAU* budget of about $24,000 was broken out in April. Special *TAU* contracts will result in a little more than $24,000 income. The *TAU* is paying for itself.

7. Feasibility questions are the only ones being asked. Would like to be able to answer questions like:

   - What kind of technical assistance is appropriate for the change desired by a particular client?

   - Technical assistance to do what?

   - Why this particular assistance for this particular client?

8. This process (of being interviewed) is a good one because it raises the level of awareness of the importance of documenting. The probing going on makes us think of a number of things that had not occurred to us--or makes us think about things differently.

Questions and Tasks for *TAU* Support Staff:

1. Get information for these meetings, e.g. a spot check of records.

2. How many hours, number of phone calls, trips taken, to land a contract?

3. Underscore key words (in ARF) that describe the nature of the activity, e.g. "negotiate," "tentative agreement."

Feedback about this meeting:

- Helpful, relaxed, useful

- Wish this kind of activity could have started a long time ago, am sensing some excitement

October 4, 1976 - (In attendance: 2 evaluators, 2 professionals from *TAU)*

Of the 42 activities reported as of October 4, 1976, *TAU* professional staff members made the following statements:

1. Five of the activities were done in connection with a contract

2. One has since resulted in a contract

3. Six are likely to result in contracts at some future time

Appendix F:

ANALYSIS OF ACTIVITY RECORD FORMS

Analysis of Activity Record Forms

Number of Entries - 42

Number of entries, each reporting staff

Staff A - 13
Staff B - 29

Kind of Activity	Total Number	Staff Reporting A	Staff Reporting B
Phone	16	5	11
Face-to-face	24	8	16
Share information	19	5	14
Diagnose/promote/explore/ plan	14	9	5
Office/Workshop	6	0	6
Others	7	1	6
Time Reported	**Total Number**	**Staff Reporting A**	**Staff Reporting B**
10-30 minutes	11	3	8
30-60 minutes	4	2	2
60-120 minutes	8	1	7
2 hours	2	1	1
1 day	9	5	4
2 days	2	0	2

SUMMARY OF TAU
ACTIVITY REPORTS

Person Reporting	Number	Kind of Activity						Time (including preparation and event)					
		Phone	Face-to Face	Share Info.	Diagnose Promote Explore Plan	Office Work Workshop Work	Other	10-30 Minutes	30-60 Minutes	60-120 Minutes	2 Hours	1 Day	2 Days
A	1		X				Discuss Instruments				X		
B	2			X			Message						
B	3					W. shop							X and 2½ hrs.
B	4	X		X									
B	5		X			W. shop							X and 2 hrs.
B	6	X		X									
B	7	X		X									
B	8		X				Input on Instru.			X			
A	9	X		X					X and 30 min.				
B	10		X	X						X			
B	11		X	X						X and 5 min.			
A	12		X		X					X and 15 min.			
B	13	X		X						X			
B	14					Prepare Mat.						½ day	
A	15	X		X					X and 30 min.				
A	16		X	X	X							½ day	
A	17		X		X					X			
B	18		X				Discuss Instru.					X	
B	19		X	X	X				X				

Person Reporting	Number	Kind of Activity						Time (including preparation and event)					
		Phone	Face-to Face	Share Info.	Diagnose Promote Explore Plan	Office Work Workshop Work	Other	10-30 Minutes	30-60 Minutes	60-120 Minutes	2 Hours	1 Day	2 Days
B	20		X	X	X					X			
B	21		X	X						X			
A	22		X		X							½	
B	23	X	X										
B	24	X					Confirm	X					
A	25	X		X				X					
B	26		X		Data Gathering						X and 30 min.		
B	27		X		X					X			
B	28					W. Shop						½	
B	29		X			Prepare Budget		X					
A	30		X		X							X	
A	31		X		X							X	
A	32		X		X							X	
B	33	X					Discuss Dates	X					
B	34		X			W. shop						X	
B	35	X					Response to Bid	X					
A	36	X			X			X					
A	37	X			X			X					
B	38	X		X				X					

Person Reporting	Number	Kind of Activity						Time (including preparation and event)					
		Phone	Face-to Face	Share Info.	Diagnose Promote Explore Plan	Office Work Workshop Work	Other	10-30 Minutes	30-60 Minutes	60-120 Minutes	2 Hours	1 Day	2 Days
B	39		X	X				X					
B	40		X	X					X				
B	41	X		X	X			X					
B	42	X	X	X				X					

Appendix G:

ANALYSIS OF CONTACT RECORD FORMS

Summary of Data From Contact Record Forms

Number of entries - 78

TAU contacts - 6

State Department of Education	1
School Districts	3
Other Educational Agencies	2

How good a prospect?

	Number	Percent
Active (R)	3	4%
Potential (G)	32	41
Dropout (Y)	43	55

Agencies of Contacts Made	Number	Percent	How Good a Prospect R	G	Y
Universities/colleges	19	24%	1	2	5
Other educational agencies	19	24	0	8	11
School District	13	17	2	5	6
Other agencies	10	13	0	5	5
State Department of Education	8	10	1	2	5
School building	7	9	0	2	5
No agency listed	2	3	0	1	1

Positions/Roles of Contactors

	Number	Percent
Executive directors of programs/ projects/services	21	27%
Teachers/professors	11	14

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Positions/Roles of Contactors (continued)

	Number	Percent
Coordinators of programs/projects/ services	7	9%
Assistant superintendent/administrative assistant	5	6
Consultants	3	4
Deans	3	4
Educational specialists	3	4
Principals	3	4
Counselors	2	3
Superintendent	1	1
Others	8	10
No listing	11	14

Sex of Contactors

Female 28%

Male 72%

Agencies, Roles, Location of Contractors

School District	1.	Asst. Supt.	Vancouver, B. C.
	2.	Coord. Adm. Trng.	Maryland
	3.	Coord. Adm. Trng.	Maryland
SDOE	4.	Director of staff Dev. Network - Statewide	California
University	5.	Director of Curriculum and Instruction	Florida
Early Education Program	6.	Coord. of Trng. and Consultation	Hawaii
Teacher Education Center	7.	Director	Florida
Educational Service District 8	8.	Administrator	Washington
National School Executives	9.	Associate Director	Virginia

Distribution of Contacts by State

Oregon	12	Washington, D. C.	1
Florida	11	West Virginia	1
Michigan	4	Wisconsin	1
Pennsylvania	3		
Washington	3		
California	3		
Alaska	2		
British Columbia	2		
Idaho	2		
Montana	2		
New Jersey	2		
Texas	2		
Australia	1		
Colorado	1		
England	1		
Georgia	1		
Hawaii	1		
Iowa	1		
Kentucky	1		
Maryland (Virginia)	1		
Minnesota	1		
Missouri	1		
South Dakota	1		
Virginia (Maryland)	1		

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RAND McNALLY

STATE OUTLINE MAP

UNITED STATES

SIZE 8½ x 11

4677

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Appendix H:

SUMMARY OF CONTRACTS AND
TAU BUDGET

SPECIAL CONTRACT SUMMARY AS OF 10/29/76

CLIENT	CONTRACT	DATES	AMOUNT
Early Education Program	Interpersonal Communications Workshop	3/15/76 — 6/15/76	$ 1,867.00
National School Executives	Interpersonal Influence Workshop	4/26/76 — 4/30/76	2,000.00
State Department of Education	Interpersonal Influence Workshop	5/1/76 — 6/1/76	3,524.00
Educational Service Dist.	Research Utilizing Problem Solving Workshop	5/1/76 — 9/1/76	2,598.00
Teaching Center - Florida	PETC-I: Skills Trainining Workshop	6/1/76 — 9/1/76	4,087.00
Canadian School District	Facilitating Inquiry in the Classroom	9/15/76 — 12/31/76	3,800.00
County Public Schools	Interpersonal Influence Workshop	11/9/76 — 11/12/76	3,452.00
Regional Workshop*	Interpersonal Influence Workshop	8/9/76 — 8/13/76	2,420.00
Far West Laboratory*	Travel and per diem to participate in Inter-Lab Consortium	10/1/76 — 11/31/76	2,000.00

No shared cost contracts

Total	21,328.00
TAU Budget	24,862.00
Loss	3,534.00

*Although these special contracts are also included in other components of the FRDWU they are listed here because they contributed to information and contacts for the TAU.

Northwest Regional Educational Laboratory

BUDGET SUMMARY

Submitted by: _____

Date: _____

Division Director: _____

Contract Officer Approval: _____

Date: _____

Planned start date: _____

Planned end date: _____

Contract: _____

Component: Field Relations and Dissemination Work Unit

Activity: Technical Assistance

Milestone: _____

Event: _____

Account No. _ _ _ _ _ _ _ _

BUDGET BY TIME PERIOD

SCHED	DESCRIPTION	FISCAL YEAR / START DATE / END DATE	1976 / 4/1/76 / 11/30/76				TOTAL BUDGET
	PERSONNEL COSTS						
A	SALARIES	5110	10,726				
A	PERSONNEL BENEFITS	5200	1,909				
B	CONSULTANT CLAIMS	5120	900				
C	OTHER PERSONNEL	5130					
	TRAVEL & TRANSPORTATION						
D	STAFF TRAVEL	5310	6,035				
B	CONSULTANTS TRAVEL	5320					
C	OTHER TRAVEL	5330					
E	POSTAGE & SHIPPING	5410	267				
	RENT, COMMUN. & UTILITIES						
F	FACILITY RENTAL	5510	854				
G	EQUIPMENT RENTAL	5520					
H	TELEPHONE & TELEGRAPH	5530	473				
	UTILITIES	5540					
	PRINTING & DUPLICATION						
J	PRINTING	5610	2,272				
K	DUPLICATION	5620	575				
	OTHER SERVICES						
L	DATA PROCESSING	5710					
M	SUBCONTRACTS	5720					
N	CONFERENCE EXPENSES	5730	83				
P	OTHER SERVICES	5740					
	SUPPLIES & MATERIALS						
Q	OFFICE SUPPLIES	5810	134				
Q	PRINTED MATERIALS	5820	134				
Q	OTHER SUPPLIES	5830	500				
	TOTAL DIRECT COSTS						
R	EQUIPMENT PURCHASES	5910					
	INDIRECT COSTS* @ 20.5%	6200					
	TOTAL COSTS						
	FEE @ %						
	TOTAL COSTS AND FEE		$24,862				

* The indirect cost rate is applied to direct costs other than equipment purchases.

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Schedule A

SALARIES AND PERSONNEL BENEFITS

Contract _____
Activity Technical Assistance Work Unit
Stage _____
Account _____

Position Title	Class. **	Name	Rate		Period / Days	Budget	
			Salary	Benefits		Salary	Benefits
		Program Associate	D*125.59 A*	22.50	37.84	4,752	851
		Program Associate	97.79	17.71	37.84	3,700	670
		Support Staff	37.88	5.10	39.50	1,496	201
		Support Staff	19.70	4.74	39.50	778	187
Total Staff Days							
Provision for salary increase during the contract term							
TOTAL SALARIES					(5110)	10,726	
TOTAL ACTUAL PERSONNEL BENEFITS						(5200)	1,909

*D=Daily; A=Annual
** Class.=Salary Range Number
BO-BS 7/74